

NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) provides awards for research in the sciences, mathematics, and engineering. The awardee is wholly responsible for the conduct of such research and preparation of the results for publication. The Foundation, therefore, does not assume responsibility for such findings or their interpretation.

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Privacy Act and Public Burden. Information requested on NSF application material is solicited under the authority of the National Science Foundation Act of 1950, as amended. It will be used in connection with the selection of qualified proposals and may be used and disclosed to qualified reviewers and staff assistants as part of the review process and to other government agencies. See Systems of Records, NSF-50, Principal Investigator/Proposals File and Associated Records," 60 Federal Register 4449 (January 23, 1995), and NSF-51, "Reviewer/Proposals File and Associated Records," 59 Federal Register 8031 (February 17, 1994). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of your receiving an award.

Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Gail McHenry, Reports Clearance Officer, Information Dissemination Branch, National Science Foundation, Arlington, VA 22230 and to: Office of Management and Budget, Paperwork Reduction Project (3145-0058), Washington, DC 20503.

The Foundation has TDD (Telephonic Device for the Deaf) capability, which enables individuals with hearing impairment to communicate with the Division of Personnel and Management about NSF programs, employment, or general information. The telephone number is (703) 306-0090, for FIRS dial 1 -800-8778339.

This program is described in the Catalog of Federal Domestic Assistance category 47.076, EHR.

SPECIAL REQUIREMENTS FOR USE OF ANIMALS, HUMAN SUBJECTS, RECOMBINANT DNA

If any activity in the proposed work is likely to involve using non-human vertebrate animals, human subjects, or recombinant DNA techniques, additional information must be supplied. Please see NSF Grant Policy Manual (NSF 95-26) for details. Copies of this document are available via the World Wide Web at <http://www.nsf.gov/> and are for sale through the Superintendent of Documents, Government Printing Office, Washington, DC 20402.

EPSCoR

Experimental Program to Stimulate Competitive Research

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The Experimental Program to Stimulate Competitive Research

I. Introduction

Section 3(e) of the National Science Foundation (NSF) Act of 1950, as amended, states that: “it shall be an objective of the Foundation to strengthen research and education in the sciences and engineering, including independent research by individuals, throughout the United States, and to avoid undue concentration of such research and education.” Through its Congressional mandate, the NSF promotes and advances scientific progress nationwide. In 1978, broad public concerns about undue geographical concentration of federal funding of academic research and development (R&D) led Congress to further authorize the NSF to conduct the Experimental Program to Stimulate Competitive Research (EPSCoR). Eligibility for EPSCoR participation, therefore, is restricted to those jurisdictions that have historically received lesser amounts of federal R&D funding and have demonstrated a commitment to develop their research bases and to improve the quality of science, mathematics, and engineering research conducted at their universities and colleges.

Eighteen states and the Commonwealth of Puerto Rico currently participate in the program. The states are: Alabama, Arkansas, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Montana, Nebraska, Nevada, North Dakota, Oklahoma, South Carolina, South Dakota, Vermont, West Virginia, and Wyoming. This solicitation is directed to the EPSCoR governing committees and their designated fiscal agents with responsibility for administration of the National Science Foundation’s EPSCoR initiative.

A. Mission

EPSCoR acts on the premise that universities and their science and engineering faculty and students are valuable resources that can potentially influence a state’s development in the twenty-first century much the same way that agricultural, industrial, and natural resources did in the twentieth century. EPSCoR’s goal, therefore, is to identify, develop, and utilize a state’s academic science and technology resources in a way that will support wealth creation and a more productive and fulfilling way life for its citizens. To achieve this goal the NSF actively cooperates with state leaders in government, higher education, and business to establish productive long-term partnerships capable of effecting lasting improvements to the state’s academic research infrastructure and increased national R&D competitiveness.

EPSCoR increases the R&D competitiveness of an eligible state through the development and utilization of the science and technology (S&T) resources residing in its major research universities, those institutions granting significant numbers of the state’s Ph.D. degrees in eligible science and engineering disciplines and mathematics as detailed in the Grant Proposal Guide (NSF 98-2). EPSCoR achieves increased academic research competitiveness by:

- *stimulating sustainable S&T infrastructure improvements at the state and institutional levels that significantly increase the ability of EPSCoR researchers to compete for federal and private sector R&D funding; and*
- *accelerating the movement of EPSCoR researchers and institutions into the mainstream of federal and private sector R&D support.*

B. EPSCoR Awards

The NSF assists eligible states to achieve improvements in R&D competitiveness through three types of EPSCoR awards.

- ***EPSCoR Cooperative Agreements:*** *36-month awards of up to \$3.0 million to support infrastructure improvements in S&T areas identified by the state’s EPSCoR governing committee as being critical to the state’s future R&D competitiveness.*
- ***EPSCoR Grants:*** *24-month, non-renewable, standard grants of up to \$500,000 to provide “venture capital” to initiate projects, consistent with state and institutional S&T improvement strategies, with high potential for significant short-term impact on the state’s research competitiveness and for acquiring sustained non-EPSCoR support.*
- ***EPSCoR Co-funding:*** *Co-funding of proposals submitted to the NSF’s regular grant programs by investigators working in research areas that have been identified as priorities within the state’s EPSCoR Cooperative Agreement.*

Non-Federal Cost Sharing

The partnership between NSF and the EPSCoR jurisdictions requires that both parties invest resources to achieve increased academic research competitiveness. The non-federal cost sharing required for each type of EPSCoR award is described below.

- ***EPSCoR Cooperative Agreement:*** *A non-federal matching share of one-to-one (i.e., each dollar of NSF/EPSCoR support requested must be matched by at least one dollar from state, institutional, and/or private sector sources) up to a maximum of \$3.0 million over the term of the award is required. The proposed non-federal matching share must meet all pertinent NSF and federal regulations as determined by the NSF’s Division of Grants and Agreements.*
- ***EPSCoR Grants:*** *One-to-one non-federal matching is NOT required for EPSCoR Grants; however, commitment of an appropriate level of state, institutional, or sufficient private sector support to insure success of the proposed project is expected.*

- **EPSCoR Co-funding:** *Proposals co-funded by EPSCoR with the NSF's regular grant programs are not required to provide additional non-federal matching funds beyond that normally required by the relevant programs.*

Instructions for the preparation and submission of requests for each of these three types of EPSCoR support, along with descriptions of eligible activities and merit review criteria, are provided in this solicitation.

C. Eligible Activities

The NSF recognizes that local considerations dictate the scope and nature of EPSCoR activities within a state. Therefore, the NSF does not require that specific activities be carried out as part of EPSCoR awards. All EPSCoR-supported projects, however, must meet national standards of excellence; adhere to EPSCoR objectives, as described in this solicitation; produce demonstrable achievements within the award period; and demonstrate the potential to obtain

sustained non-EPSCoR support from federal, state, and/or private sector sources.

A state's request for EPSCoR support may include federal, state, academic, profit and non-profit organizations as well as individuals employed by such organizations both inside and outside the state. In addition, cooperative programs among research universities within or among EPSCoR states or between a state's research universities and predominantly undergraduate institutions are eligible for EPSCoR support. In all cases, however, principal investigators of EPSCoR projects proposed for NSF support must be affiliated with research universities, agencies, or organizations within the participant state and all EPSCoR projects must enhance the research competitiveness of the state's major research universities. In addition, all activities carried out under an EPSCoR award are subject to the restrictions concerning eligible science and engineering disciplines and activities detailed in the Grant Proposal Guide (NSF 98-2).

II. EPSCoR Cooperative Agreement

An appropriate fiscal agent, acting on behalf of a state's EPSCoR Committee, may submit only one EPSCoR Cooperative Agreement proposal in response to an announced EPSCoR competition. The amount of NSF support requested in a state's EPSCoR Cooperative Agreement proposal shall be limited to a maximum of \$3.0 million over a period of 36 months. A state that receives an EPSCoR Cooperative Agreement shall be ineligible to receive a second such award during the 36-month period following its award date or while significant funds (i.e., 20% or more of the total award amount) remain unobligated in a state's existing Cooperative Agreement.

An EPSCoR Cooperative Agreement should be used to improve the academic research infrastructure of key S&T areas identified by the state's EPSCoR governing committee as being critical to the development of state and institutional R&D capability. It is not the appropriate mechanism to provide support for individual faculty S&T research projects. Requests for support of such projects should be directed to the NSF's regular research grant programs.

The state's strategy to develop and utilize the S&T resources that reside in its research universities should be described in its EPSCoR Cooperative Agreement proposal. In preparation for submitting a proposal, the EPSCoR governing committee within each state is expected to have undertaken a comprehensive analysis of the strengths, weaknesses, and opportunities for development of its research institutions in support of overall state R&D objectives. Successful infrastructure improvement plans are likely to be those which candidly represent the opportunities for enhanced academic R&D competitiveness, including the acquisition of sustained non-EPSCoR support. Most importantly, the state's infrastructure improvement strategy must have a high probability of realizing stated goals and objectives as judged by members of an NSF merit review panel. In all instances, performance milestones and a timetable for achieving such milestones are a prerequisite for EPSCoR support.

A. Examples of Infrastructure Improvements

Past EPSCoR experience indicates that state infrastructure improvement strategies which sharply focus available fiscal and human resources on a limited number of R&D areas are most successful. Examples of S&T infrastructure improvement activities that are consistent with NSF objectives are given below.

- *Improvements that will significantly increase an EPSCoR institution's R&D competitiveness such as: competitive levels of start-up funding for new faculty including "seed funding" of faculty research leading to the submission of competitive grant proposals; faculty exchange programs with major centers of research activity; acquisition of state-of-the-art research instrumentation; and development of nationally competitive high-performance computing and networking capabilities.*
- *Partnerships between the state's research universities and the private sector, especially those that: increase linkages between EPSCoR researchers and their counterparts in high-technology small businesses and increase the competitiveness of the state's S&T entrepreneurial talent in the competition for federal Small Business Innovation Research (SBIR) grant funding.*
- *Innovations in graduate education and human resource development that will expand student career options and facilitate the entry of members of underrepresented groups within the state (i.e., minorities, women, and the physically disabled) into high-demand S&T fields.*
- *Initiatives that build R&D competitiveness by utilizing the expertise of senior faculty to: (1) work with newly developing S&T businesses; (2) serve as policy advisors for state legisla-*

tures and S&T agencies; (3) serve as senior postdoctoral associates in established department- or institution-wide research programs; (4) develop new educational technologies and delivery systems; or (5) pursue new career alternatives.

- Creation of graduate research training groups, or similar appropriate mechanisms that: integrate education and research; encourage multidisciplinary educational experiences; establish links with industry and national laboratories; and nurture a “corporate” educational and research responsibility.

In each case, EPSCoR funding should not simply maintain existing activities, however excellent they may be. Requests should: (1) add measurable value to existing research capability in S&T areas of high institutional and state priority and (2) present strong potential to generate sustained non-EPSCoR funding from federal, state, or private sector sources. To insure maximum impact of limited EPSCoR funds, NSF support should not replace existing institutional, state, federal, or private sector funding.

B. Proposal Preparation

The state’s EPSCoR Cooperative Agreement proposal must be prepared in strict accordance with the instructions given in the Grant Proposal Guide (NSF 98-2) with the following exceptions: (1) the content of the section labeled Project Description as described below and (2) the EPSCoR budget format (EPSCoR 1030) provided in Appendix I of this solicitation. The latter must be prepared in accordance with instructions given in the Grant Proposal Guide and this solicitation. A completed EPSCoR budget must include a composite budget covering the 36-month period for which support is requested; individual budgets for each 12-month period and accompanying budget explanations; and, if necessary, appropriate subaward budgets. Curricula Vitae and current and pending support information should be provided for only the Principal Investigator and each of the Co-Principal Investigators.

Proposers are encouraged to contact the NSF’s Division of Grants and Agreements during the preparation of the budget to insure compliance with NSF regulations and procedures. A variety of materials to assist in proposal preparation and insure compliance are also available via the World Wide Web at <http://www.nsf.gov/>.

Project Description

The section labeled Project Description may not exceed 15 pages, including text as well as visual materials, and must include the following items.

- The state’s current status and proposed strategy to improve its R&D competitiveness through the development and utilization of the S&T resources residing in its research universities.
- The specific S&T focal areas identified as being critical to the state’s future R&D competitiveness (i.e., those S&T areas for which EPSCoR co-funding will be sought), and the infrastructure improvements proposed for EPSCoR support, including

their relationship to the development of these high priority S&T focal areas.

- The plan for obtaining non-EPSCoR funding from federal, state, or private sector sources to sustain EPSCoR-initiated infrastructure improvements.
- The project management plan, including the role and duties of the EPSCoR Project Director and the state’s EPSCoR governing committee; milestones and a timetable for achieving state and institutional EPSCoR objectives; and the plan and criteria for monitoring and assessing program effectiveness.

C. Proposal Submission

In response to this solicitation an appropriate fiscal agent, acting on behalf of the state’s NSF/EPSCoR Committee, may submit one EPSCoR Cooperative Agreement proposal. The proposal must be prepared in strict accordance with the instructions given in the Grant Proposal Guide and this solicitation.

Proposals must be submitted through the NSF’s FastLane electronic proposal submission project¹. The deadline for submission of Cooperative Agreement proposals is 5:00 p.m. (EDT) July 15th. Submission of documents requiring the signature of institutional officials must be mailed to the cognizant EPSCoR program officer at the time of FastLane submission. Proposals must be submitted in final form, requests to add or correct proposal material will not be considered unless additional material is solicited by the EPSCoR program staff. The NSF requires notification of any development, following submission of the proposal, that might significantly affect the proposed plan (e.g., change in key project personnel).

D. Proposal Review

Merit review of a state’s EPSCoR Cooperative Agreement proposal will be carried out by a panel of nationally recognized S&T professionals chosen for their scientific and technical expertise as well as their academic, industrial, or governmental management experience. The panel will examine each state’s EPSCoR proposal with respect to the new NSF merit review criteria listed in the Grant Proposal Guide (NSF 98-2). Within the context of the NSF’s EPSCoR initiative, reviewers will be asked to place special emphasis on the likelihood that: the proposed S&T infrastructure improvements will substantially improve the state’s ability to obtain non-EPSCoR funding from federal, state, or private sector sources.

Each panelist will examine the state’s Cooperative Agreement proposal and provide individual ratings of Excellent, Very Good, Good, Fair, or Poor. EPSCoR funding shall be based on the results of the merit review and analysis of the panelists’ recommendations by the EPSCoR staff. If necessary, a site visit may be conducted to resolve specific review issues before a final award decision is made by the EPSCoR staff.

¹ Information concerning “How to Use FastLane” can be found on the NSF FastLane home page (<http://www.FastLane.nsf.gov/>).

E. Award Administration

Participants in an EPSCoR Cooperative Agreement must meet the general fiscal and reporting requirements of the National Science Foundation as described in the Grant Proposal Guide (NSF 98-2) and the NSF Grant Policy Manual (NSF 95-26). Awards made in accordance with this solicitation will include a Statement of Purpose, the Agreement Terms, and Special Conditions, as described in the Grant General Conditions, GC-1 (10/95) and the Cooperative Agreement General Conditions, CA-1 (12/95). Copies of these documents are available via the World Wide Web by accessing <http://www.nsf.gov/> or by contacting the NSF Publications Unit via electronic-mail at pubs@nsf.gov. Special EPSCoR fiscal and reporting requirements are described below.

Fiscal Management

The state's EPSCoR Committee shall designate a fiscal agent for the project. Where possible, this should be the employing organization of the Project Director. A single EPSCoR Cooperative Agreement will be negotiated with the state's EPSCoR Project Director, subject to the approval of the state's EPSCoR Committee and the designated fiscal agent. All negotiations will be based on the results of the review process and the availability of funds. Decisions concerning the award of an EPSCoR Cooperative Agreement will be announced, by written notification, to officials of the fiscal agent. The level of NSF support may be negotiated with the Awardee annually, depending upon the state's progress in meeting its EPSCoR objectives, the continued commitment of matching funds, and the availability of EPSCoR program funds.

Awardee Reporting Requirements

Within 5 business days of notification by the NSF staff of their intent to recommend award of an EPSCoR Cooperative Agreement,

the Project Director must provide the EPSCoR Office with a non-technical description of the proposed project not to exceed 300 words. The document must be written in a style that can be readily understood by the general public and should emphasize the benefits to be derived by the citizens of the state and nation by completion of the project. The document should be transmitted as an e-mail message to epscinfo@nsf.gov.

A final project report must be filed within 90 days of the end date of an EPSCoR Cooperative Agreement or EPSCoR Grant award. The final report should: (1) not exceed 5 pages; (2) be prepared as directed by the Grant Proposal Guide, using NSF Form 98A; (3) contain certification that cost sharing commitments have been met; and (4) contain a description of outcomes that have been achieved relative to stated programmatic milestones, expressed in terms that are readily understandable to a scientifically or technically literate lay reader.

Project Organization/Changes

Primary responsibility for project management of an EPSCoR Cooperative Agreement rests with the grantee organization and the EPSCoR Project Director. Policy guidance and program oversight shall be provided by the state EPSCoR committee. Committee membership should reflect the state's leadership and represent state government, higher education, and the private sector.

NSF grant management policies require that certain changes receive prior approval of either the cognizant NSF program officer or the NSF Grants and Agreements officer. While many of these changes may be made at the discretion of the EPSCoR Project Director, others require the approval of an institutional grants official. The NSF's policies on grant changes are contained in the NSF Grant Policy Manual and the NSF Grant General Conditions.

III. EPSCoR Grants

To provide maximum flexibility in the state's overall R&D development, EPSCoR Grants provide "venture capital" to initiate projects with a high potential for significant short-term impact on the state's academic research competitiveness. EPSCoR Grants are non-renewable, standard grants of 24-month duration and \$500,000 maximum award amount. It is anticipated that 10 to 15 EPSCoR Grants may be awarded during any fiscal year.

Projects seeking EPSCoR Grant support must have significant potential to obtain sustained non-EPSCoR support from federal, state, or private sector sources. Illustrative examples include: S&T improvements that will allow EPSCoR researchers and institutions to take advantage of unique opportunities to increase their research competitiveness; S&T knowledge transfer from higher education to the private sector; university/industry partnerships in S&T areas critical to technological development in the state; improved linkages

among EPSCoR researchers and the national R&D community; and significant innovations in S&T graduate education.

Research activities that have access to traditional sources of support through regular NSF programs (e.g., NSF research equipment programs, individual investigator research projects, graduate traineeships) are NOT a funding priority and will receive lesser consideration.

A. Preproposal Submission

The EPSCoR Grant competition requires submission of a preproposal. No more than three (3) preproposals from a single EPSCoR jurisdiction may be submitted to any annual competition. Preproposals from consortia of EPSCoR states, however, will not count against the submitting state's preproposal quota. Preproposals from individual EPSCoR jurisdictions whose budgets exceed the

\$500,000 maximum award limit will not be considered. Those submitted by consortia of EPSCoR jurisdictions, whose budgets contain subawards among the jurisdictions, may request NSF funding up to a maximum of \$750,000. EPSCoR jurisdictions planning to submit a consortia proposal are encouraged to contact the EPSCoR staff prior to submission. All preproposals must be submitted through the NSF's FastLane electronic proposal submission project. The deadline for submission of EPSCoR Grant preproposals is 5:00 p.m. (EDT) October 14th.

The EPSCoR Project Director must also provide the following information for each preproposal submitted by the state: (1) name and institution of the Principal Investigator; (2) the project title of the preproposal; and (3) the relevant Research Division(s)/Program Code abbreviation(s) as listed in the Grant Proposal Guide. The list should be transmitted as an e-mail message to epscinfo@nsf.gov.

Preproposal Preparation and Review

Each preproposal must contain the following items ordered as follows. Preproposal format: (1) an NSF Cover Sheet (NSF Form 1207); (2) a 200-word Summary written in terms that are readily understandable to a scientifically or technically literate lay reader (NSF Form 1358); (3) Table of Contents (NSF Form 1359); (4) a Project Description, not to exceed 5 pages, including text as well as visual materials (NSF Form 1359); (5) References Cited, not to exceed one page (NSF Form 1361); (6) a Biographical Sketch for the Principal Investigator, not to exceed 2 pages (NSF Form 1362); (7) a summary budget covering the 24-month award period using the EPSCoR Budget form (EPSCoR Form 1030, including up to 3 pages of Budget justification/explanation); (8) Current and Pending Support (NSF Form 1239); and (9) Facilities, Equipment, and other Resources, not to exceed one page (NSF Form 1363). All required forms are available on FastLane. Unless requested by the EPSCoR staff, original copies of documents containing the signature of institutional officials should not be submitted.

The section labeled Project Description should describe: (1) the proposed activity; (2) the plan to obtain sustained non-EPSCoR support, including programmatic milestones and a timetable for meeting project objectives; and (3) the project's relationship to state or institutional R&D objectives. Preproposals that do not conform to these guidelines will not be accepted for review.

EPSCoR Office staff will examine each preproposal with respect to the project's potential to: (1) generate non-EPSCoR support from federal, state, or private sector sources and (2) support state or institutional R&D improvement strategies. As necessary, preproposals will also be examined by NSF program staff and appropriate S&T consultants for scientific and technical aspects.

Those investigators whose preproposals are judged to possess a high level of scientific and technical merit and to be consistent with the objectives of the EPSCoR Grant program will be invited to submit full proposals. Past experience indicates that approximately one-third to one-half of all preproposals submitted will meet the criteria required for submission of a complete EPSCoR Grant proposal.

B. Proposal Submission

Because the EPSCoR Grant proposal competition is highly competitive, the state's EPSCoR Committee should take appropriate steps to insure that all EPSCoR Grant proposals meet national standards of S&T quality (e.g., it is encouraged that the Committee conduct an independent merit review of proposed projects before submission to the NSF). Since it is the responsibility of the state's EPSCoR Project Director to insure that all proposals submitted by the state strictly adhere to all NSF rules and regulations and to the maximum award limits established by the EPSCoR Office, Principal Investigators on EPSCoR Grant proposals must work closely with the state's EPSCoR Office during proposal preparation and submission.

All EPSCoR Grant proposals must be submitted through the NSF's FastLane electronic proposal submission project. The deadline for submission of EPSCoR Grant proposals is 5:00 p.m. (EST) February 17th. EPSCoR Grant proposals must be prepared according to the NSF Grant Proposal Guide with the following exceptions: (1) irrespective of the number of researchers participating in the proposed project, the section labeled Project Description must not exceed 15 pages, including text as well as visual materials; (2) the EPSCoR budget format (EPSCoR 1030) must be used; and (3) the proposal cover page should indicate EPSCoR in the block labeled "For Consideration by NSF Organizational Unit(s)." Submission of documents requiring the signature of institutional officials should be mailed to the cognizant EPSCoR program officer at the time of FastLane submission. Proposals must be submitted in final form. Requests to add or correct proposal material will not be considered unless additional material is solicited by the EPSCoR program staff. Furthermore, appended information must not be used to circumvent the page limitations described in the Grant Proposal Guide and this solicitation. All instructions pertaining to proposal submission required by the Grant Proposal Guide and FastLane must be followed exactly. Proposals that do not conform to these guidelines will not be accepted for review.

C. Proposal Review

Merit review of EPSCoR Grant proposals will be carried out by a panel of nationally recognized S&T professionals with expertise in the proposed research areas. The panel will examine each EPSCoR Grant proposal with respect to the new NSF merit review criteria listed in the Grant Proposal Guide (NSF 98-2). Within the context of the NSF's EPSCoR Grant initiative, reviewers will be asked to place special emphasis on the project's plan and potential to obtain additional non-EPSCoR support to continue and expand its activities.

Panelists will use the NSF rating scale of Excellent, Very Good, Good, Fair, Poor to rate the proposals. Only those proposals that receive merit review ratings within the range of Very Good to Excellent will be considered for EPSCoR support.

D. Award Administration

Recipients of EPSCoR Grants must meet the general fiscal and reporting requirements of the National Science Foundation as described in the Grant Proposal Guide (NSF 98-2) and the NSF Grant

Policy Manual (NSF 95-26). These documents are available on the World Wide Web by accessing <http://www.nsf.gov/>. The Grant Policy Manual may also be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Special EPSCoR fiscal and reporting requirements are described below.

Fiscal Management

EPSCoR Grants are non-renewable standard grants of 24-months duration made to the fiscal agent designated by the Principal Investigator. The NSF requires notification of any development, following submission of the proposal, that might significantly affect the proposed plan. Program staff will contact proposers if additional information is required. Decisions concerning the award of an EPSCoR Grant will be announced, by written notification to officials of the fiscal agent. Although project management rests with the Principal Investigator, the state's EPSCoR Project Director must be kept informed of any changes that may impact the original scope of the proposed project.

Awardee Reporting Requirements

Within 5 business days of notification by the NSF staff of their intent to recommend award of an EPSCoR Grant, the Principal Investigator must provide the EPSCoR Office with a non-technical

description of the proposed project not to exceed 300 words. The document must be written in a style that can be readily understood by the general public and should emphasize the benefits to be derived by the citizens of the state and nation by completion of the project. The document should be transmitted as an e-mail message to epscinfo@nsf.gov.

A final project report must be filed within 90 days of the end date of an EPSCoR Grant award. The final report should: (1) not exceed 5 pages, for the overall EPSCoR project; (2) be prepared as directed by the Grant Proposal Guide, using NSF Form 98A; (3) contain certification that cost sharing commitments have been met; and (4) include a description, of outcomes that have been achieved relative to stated programmatic milestones expressed in terms that are readily understandable to a scientifically or technically literate lay reader.

Project Organization/Changes

NSF grant management policies require that certain changes receive prior approval of either the cognizant EPSCoR program officer or the NSF Grants and Agreements officer. While many may be made at the discretion of the Principal Investigator of the EPSCoR Grant, others require the approval of an institutional grants official. The NSF's policies on grant changes are contained in the NSF Grant Policy Manual and the NSF Grant General Conditions. The Principal Investigator must also notify the state's EPSCoR Project Director of any such changes.

IV. EPSCoR Co-Funding

To accelerate the movement of EPSCoR researchers and institutions into the mainstream of federal and private sector R&D support, EPSCoR jointly supports proposals submitted to the NSF's ongoing grant programs. These include, but are not necessarily limited to: the Faculty Early Career Development (CAREER) program, the Major Research Instrumentation programs, and the Graduate Opportunities for Academic Liaison with Industry (GOALI) program. Individual investigator, research group, and research center proposals submitted to the NSF's research divisions are also eligible for co-funding. The amount of co-funding received by each state will be based on the number and quality of proposals submitted for co-funding and on the availability of funds.

A. Co-Funding Eligibility

EPSCoR co-funding is restricted to those S&T focal areas that have been designated as priorities within the state's EPSCoR Cooperative Agreement (i.e., the specific research areas selected by the state and its major research universities as being critical to the state's future R&D competitiveness). Therefore, to be eligible for EPSCoR co-funding proposals must be certified by the state's EPSCoR Project Director as meeting state and institutional objectives cited in the state's EPSCoR infrastructure improvement strategy.

Co-funding of proposals from first-time investigators (i.e., junior and mid-career faculty who have not previously had NSF research

support) and members of interdisciplinary research clusters developed through EPSCoR support shall be an EPSCoR co-funding priority. Proposals submitted by individual investigators who have had significant amounts of previous research support from the NSF research division to which the proposal is submitted are NOT an EPSCoR priority and will not be considered for EPSCoR co-funding.

B. Proposal Submission

To be eligible for EPSCoR co-funding proposals must be prepared and submitted according to the instructions contained in the current program announcement of the particular NSF program to which they are submitted with the following important addition.

- A "Certification of EPSCoR Co-Funding Eligibility" (NSF-1404), signed by the state's EPSCoR Project Director, must be attached immediately following the Cover Page in the original copy only of proposals submitted by EPSCoR faculty. A blank working copy of the form is available on the World Wide Web at <http://www.ehr.nsf.gov/ehr/epscor/report>.

In the case of proposals submitted through the NSF FastLane electronic proposal submission project, the certification form should NOT be included in the electronic transmission, but rather should be transmitted to the cognizant NSF program officer, under separate

cover along with the cover page and any other required forms bearing the original signatures of the Principal Investigator and the fiscal agent.

In addition, the state EPSCoR Project Director must transmit a “Notification of Certification” for each submission of a certified proposal to the EPSCoR Office via the FastLane EPSCoR notification of certification system.

C. Proposal Review and Administration

The review and administration of EPSCoR-certified proposals will be handled by the NSF programs to which they were submitted. Using the new NSF merit review criteria described in their program solicitations and the Grant Proposal Guide, each NSF program will identify those proposals that meet their standards of S&T quality. Co-funding award decisions shall result from negotiations between the EPSCoR staff and the cognizant NSF program officers. Personal requests for co-funding of proposals by EPSCoR researchers to the cognizant NSF program officers are strongly discouraged and will jeopardize the opportunity for EPSCoR co-funding.

The cognizant NSF program officer shall be responsible for management of the award. It is expected that the Principal Investigator of an EPSCoR co-funded proposal will inform the state’s EPSCoR Project Director of all pertinent NSF award actions.

Fiscal Arrangement

All decisions concerning the award of an EPSCoR co-funding award will be announced by written notification to officials of the fiscal agent by the cognizant NSF grants official. Recipients of

EPSCoR awards co-funded with the NSF’s regular programs must meet the general fiscal and reporting requirements of the National Science Foundation as described in the Grant Proposal Guide and the NSF Grant Policy Manual.

Awardee Reporting Requirements

Recipients of an EPSCoR co-funding award must adhere to the reporting requirements of the research program which initiated the award. It is expected that the awardee will also keep the state’s EPSCoR Project Director informed of progress made during the course of the award (e.g., project progress reports, requests for changes in project organization or scope). The name and address of each state’s EPSCoR Project Director may be found on the World Wide Web at <http://www.ehr.nsf.gov/ehr/epscor/>.

Project Organization/Changes

NSF grant management policies require that certain changes receive prior approval of either the cognizant NSF program officer or the NSF Grants and Agreements Officer. While many may be made at the discretion of the Principal Investigator, others require the approval of an institutional grants official. The NSF’s policies on grant changes are contained in the NSF Grant Policy Manual and the NSF Grant General Conditions.

EPSCoR co-funding is restricted to investigators at institutions within jurisdictions eligible to participate in EPSCoR. Such support is not transferable and shall terminate if the Principal Investigator changes employment to an institution that is not within an EPSCoR jurisdiction.

V. Additional Information

The NSF encourages the use of electronic methods of communication. This publication, as well as most other NSF program announcements may be found on the World Wide Web accessed through <http://www.ehr.nsf.gov/> and its full text may be searched online and copied from the system. Inquiries concerning EPSCoR should be directed to the program staff by electronic-mail at: ep-

scor@nsf.gov. Single printed copies of NSF publications may be ordered via electronic-mail at pubs@nsf.gov or by voice-mail at (703) 306-1130. Requests must include: NSF publication number; title; number of copies needed; addressee name; and complete mailing address. Publications should be received within three weeks after placement of the order.

(SEE INSTRUCTIONS ON
REVERSE BEFORE
COMPLETING)

**EPSCoR
PROPOSAL BUDGET**

APPENDIX I

						FOR NSF USE ONLY		
						PROPOSAL NO.	DURATION (MONTHS)	
ORGANIZATION						AWARD NO.	Proposed	Granted
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR								
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF-Funded Person-months		Funds Requested From NSF	Non-Federal Matching Funds	Total Project Cost
				CAL	ACAD	SUM		
1.							\$	\$
2.								
3.								
4.								
5.								
6. () OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)								
7. () TOTAL SENIOR PERSONNEL (1-6)								
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1. () POST DOCTORAL ASSOCIATES								
2. () OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)								
3. () GRADUATE STUDENTS								
4. () UNDERGRADUATE STUDENTS								
5. () SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)								
6. () OTHER								
TOTAL SALARIES AND WAGES (A+B)								
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)								
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)								
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)								
TOTAL EQUIPMENT								
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)								
2. FOREIGN								
F. PARTICIPANT SUPPORT COSTS								
1. STIPENDS \$ _____								
2. TRAVEL _____								
3. SUBSISTENCE _____								
4. OTHER _____								
() TOTAL PARTICIPANT COSTS								
G. OTHER DIRECT COSTS								
1. MATERIALS AND SUPPLIES								
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION								
3. CONSULTANT SERVICES								
4. COMPUTER SERVICES								
5. SUBAWARDS								
6. OTHER								
TOTAL OTHER DIRECT COSTS (1 THROUGH 6)								
H. TOTAL DIRECT COSTS (A THROUGH G)								
I. INDIRECT COSTS (SPECIFY RATE AND BASE)								
TOTAL INDIRECT COSTS								
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)								
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECT SEE GPG II.D.7.j.)								
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						\$	\$	\$
M. COST-SHARING: PROPOSED LEVEL \$				AGREED LEVEL IF DIFFERENT \$				
PI/PD TYPED NAME & SIGNATURE*				DATE		FOR NSF USE ONLY		
						INDIRECT COST RATE VERIFICATION		
ORG. REP. TYPED NAME & SIGNATURE*				DATE		Date Checked	Date of Rate Sheet	Initials-ORG

INSTRUCTIONS FOR USE OF SUMMARY PROPOSAL BUDGET (NSF FORM 1030 EPSCoR)

1. General

- a. Each grant proposal, including requests for supplemental funding, must contain a Summary Proposal Budget in this format unless a pertinent program announcement/solicitation specifically provides otherwise. A Summary Proposal Budget need not be submitted for incremental funding unless the original grant letter did not indicate specific incremental funding or if adjustments to the planned increment exceeding the greater of 10% or \$10,000 are being requested.
- b. Copies of NSF Form 1030 (EPSCoR) (9-95) and instructions may be reproduced locally.
- c. A separate form should be completed for each year of support requested. An additional form showing the cumulative budget for the full term requested should be completed for proposals requesting more than one year's support. Identify each year's request (e.g., "First year _____," or "Cumulative Budget," etc.) in the margin at the top right of the form.
- d. Completion of this summary does not eliminate the need to document and justify the amounts requested in each category. Such documentation should be provided on additional page(s) immediately following the budget in the proposal and should be identified by line item. The documentation page(s) should be titled "Budget Justification/Explanation Page."
- e. If a revised budget is required by NSF, it must be signed and dated by the Authorized Organizational Representative and Principal Investigator and submitted in at least the original and two copies.

2. Budget Line Items

A full discussion of the budget and the allowability of selected items of cost is contained in the *Grant Proposal Guide*, NSF *Grant Policy Manual* (GPM) (NSF 95-26, periodically revised), and other NSF program announcements/solicitations. The following is a brief outline of budget documentation requirements by line item. (NOTE: All documentation, justification/explanation required on the line items below should be provided on the Budget Justification/Explanation Page(s).)

A., B., and C. Salaries, Wages and Fringe Benefits (GPM 611). List individually, all senior personnel who were grouped under Part A, the requested person-months to be funded and rates of pay.

D. Equipment (GPM 612). Items exceeding \$5,000 and 1 year's useful life are defined as permanent equipment (unless lower thresholds are established by the organization). List item and dollar amount for each item. Justify.

E. Travel (GPM 614 and GPM 760). Address the type and extent of travel (including consultant travel) and its relation to the project. Itemize by destination and cost and justify travel outside the United States and its possessions, Puerto Rico, Canada and Mexico. Include dates of foreign visits or meetings. Fare allowances are limited to round trip, jet-economy rates.

F. Participant Support (GPM 618). Normally, participant support costs may only be requested for grants supporting conferences, workshops or symposia. Show number of participants in brackets. Consult GPG or specific program announcement/solicitation for additional information.

G. Other Direct Costs.

1. **Materials and Supplies (GPM 613).** Indicate types required and estimate costs.
2. **Publication, Documentation and Dissemination (GPM 617).** Estimate costs of documenting, preparing, publishing, disseminating, and sharing research findings.
3. **Consultant Services (GPM 616).** Indicate name, daily compensation (limited to individual's normal rate or daily rate paid for Level IV of the Executive Schedule whichever is less), and estimated days of service, and justify.
4. **Computer Services (GPM 615).** Include justification based on estimated computer service rates at the proposing institution. Purchase of equipment should be included under D.
5. **Subawards (GPM 313).** Also include a complete budget NSF Form 1030 for each subaward and justify details.
6. **Other.** Itemize and justify. Include computer equipment leasing.

I. Indirect Costs (GPM 630). Specify current rate(s) and base(s). Use current rate(s) negotiated with the cognizant Federal negotiating agency. See GPM for special policy regarding grants to individuals, travel grants, equipment grants, doctoral dissertation grants and grants involving participant support costs (GPM, Chapter VI).

K. Residual Funds (GPG II.D.7.j). This line is used only for budgets for incremental funding requests on continuing grants. Grantees should provide a rationale for residual funds in excess of 20% as part of the progress report. (See NSF Form 1328.)

L. Item L will be the same as Item J unless the Foundation disapproved the carryover of funds. If disapproved, Item L will equal J minus K.

M. Cost-Sharing (GPM 330). Include any specific cost-sharing amounts in excess of the minimum one percent required under unsolicited research proposals. Include the estimated value of any in-kind contributions. Discuss the source, nature, amount and availability of any proposed cost-sharing on the Budget Justification/Explanation Page. If a proposal budget includes a specific cost-sharing level, the identified cost-sharing level is expected to be included as a requirement in the award.

PROPOSERS MUST NOT ALTER OR REARRANGE THE COST CATEGORIES AS THEY APPEAR ON THIS FORM WHICH HAS BEEN DESIGNED FOR COMPATIBILITY WITH DATA CAPTURE BY NSF'S MANAGEMENT INFORMATION SYSTEM. IMPROPER COMPLETION OF THIS FORM MAY RESULT IN RETURN OF PROPOSAL.

OMB: 3145-0058
P.T.: 34
K.W.: 1000000; 0600000; 0400000

NSF 98-12
(Replaces NSF 97-51)